



JFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ross L. Stevens
Serial Number: 10/711,889
Filed: October 12, 2004
Group Art Unit: 3624
Examiner: Unassigned

Confirmation No. 5888

For: METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.56 AND 37 C.F.R. § 1.97

It is respectfully requested that the document(s) listed on the attached Form PTO/SB/08A be considered by the Patent and Trademark Office in the above-referenced application and made of record therein. Full text copies of the relevant documents are enclosed.

Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. 37 CFR § 1.97(e)(1).

Respectfully submitted,

By:

Steven B. Phillips
Steven B. Phillips

1/12/06
Date

Registration No. 37,911
Attorney for Applicant
Moore & Van Allen, PLLC
430 Davis Dr., Suite 500
Morrisville, NC 27560-6832
Phone: 919-286-8000
Facsimile: 919-286-8199

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the US Postal Service as first class mail on January 12, 2006, in an envelope addressed to Commissioner of Patents, PO Box 1450, Alexandria, VA 22313-1450

Patricia L. Pontello
Patricia L. Pontello



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	10/711,889		
		Filing Date	October 12, 2004		
		First Named Inventor	Ross L. Stevens		
		Art Unit	3624		
		Examiner Name			
Sheet	1	of	<<TEXT>>	Attorney Docket Number	014033-000037

U.S. PATENT DOCUMENTS						
Examiner Initials ¹	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
	AA	2002/0128958	A1	09/12/2002	SLONE	

FOREIGN PATENT DOCUMENTS							
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)					

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	
	AB	Stevens et al., "International Application No. PCT/US05/14663", <u>Written Opinion</u> , (Jan. 5, 2006)	
	AC	Stevens et al., "International Application No. PCT/US05/14663", <u>International Search Report</u> , (Jan. 5, 2006)	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.